



JF

PTO/SB/21 (04-04)

Approved for use through 07/31/2006. OMB 0651-0031  
U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

		Application Number	10/659,734
		Filing Date	September 9, 2003
		First Named Inventor	Antoni Kozlowski
		Art Unit	1713
		Examiner Name	Unassigned
Total Number of Pages in This Submission		Attorney Docket Number	SHE0073.00

**ENCLOSURES (Check all that apply)**

<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance Communication to Technology Center (TC)
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment/Reply	<input type="checkbox"/> Petition	<input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Power of Attorney, Revocation	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	29 Cited References
<input checked="" type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	
<input type="checkbox"/> Response to Missing Parts/ Incomplete Application		
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

**Remarks**

The PTO did not receive the following listed Items(s) 1 For and 1 NPL

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm or Individual name	Susan T. Evans; NEKTAR THERAPEUTICS
Signature	<i>Susan T. Evans</i>
Date	August 5, 2004

**CERTIFICATE OF TRANSMISSION/MAILING**

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Typed or printed name	Minna Cotter		
Signature	<i>Minna Cotter</i>	Date	05 Aug 04

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the application of: Antoni Kozlowski ) Atty. Docket No.: SHE0073.00  
 )  
 ) Examiner: Unassigned  
 )  
 Application No.: 10/659,734 ) Group Art Unit: 1713  
 )  
 )  
 Filed: 09/09/2003 )  
 )  
 )  
 Title: WATER-SOLUBLE POLYMER )  
 ALKANALS )  
 )

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450 Alexandria, Virginia 22313-1450 on August 5, 2004

Signed: Minia Cotter

**INFORMATION DISCLOSURE STATEMENT**  
**UNDER 37 CFR §1.56, §1.97 and §1.98**

Assistant Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

Dear Sir:

The references listed in the attached Form PTO/SB/08A and B may be material to examination of the above-identified patent application. Applicants submit these references in compliance with their duty of disclosure pursuant to 37 CFR §§1.56, 1.97, and 1.98. The Examiner is requested to make these citations of official record in this application.

This Information Disclosure Statement is not to be construed as a representation that a search has been made, that additional information material to the examination of this application does not exist, or that these references indeed constitute prior art.

Copies of the references are enclosed, as required under 37 CFR §§1.98.

This Information Disclosure Statement is being timely filed under 37 CFR §§1.97 and is being filed:

- within three months of the filing date of a national application; within three months of the date of entry of the national stage as set forth in section 1.491 in an international application; or before the mailing date of a first Office action on the merits (whichever event occurs last);
- Attached is Check No. \_ in the amount of \$0.
- Please charge the amount of \$\_\_\_\_ to Deposit Account 500348
- If it is determined that any additional fees are due, the Commissioner is hereby authorized to charge such fees to Deposit Account 50-0348.

Respectfully submitted,

NEKTAR THERAPEUTICS

Dated: August 5, 2004

By:

Susan T. Evans  
Susan T. Evans  
Reg. No. 38,443

San Carlos, CA 94070  
(650) 631-3100

U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

Substitute for form 1449A/PTO		<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>		Application Number	10/659,734
		Filing Date	09/09/2003
		First Named Inventor	Antoni Kozlowski
		Art Unit	1713
		Examiner Name	Unassigned
(Use as many sheets as necessary)			
Sheet	2	of	2
		Attorney Docket Number	
		SHE0073.00	

**U. S. PATENT DOCUMENTS**

## **FOREIGN PATENT DOCUMENTS**

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)				
	Q	WO 03/040211	05/15/2003	Shearwater Corp.		
	R	WO 03/044056	05/30/2003	Pharmacia Corp.		
	S	WO 03/049699	06/19/2003	Sun Bio, Inc.		
	T	WO 03/061577	07/31/2003	Biogen, Inc.		
	U	WO 96/08716	03/21/1996	Univ. de Tech. de Compiegne		

<b>Examiner Signature</b>		<b>Date Considered</b>	
-------------------------------	--	----------------------------	--

<sup>1</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.<sup>1</sup> Applicant's unique citation designation number (optional).<sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04.<sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3).<sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.<sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible.<sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.



Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet 1 of 2

**Complete if Known**

Application Number	10/659,734
Filing Date	09/09/2003
First Named Inventor	Antoni Kozlowski
Art Unit	1713
Examiner Name	Unassigned
Attorney Docket Number	SHE0073.00

**U. S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
A	US-	2003/0171285	09/11/2003	Finn et al.	
B	US-	2004/0142870	07/22/2004	Finn	
C	US-	4,002,531	01/11/1977	Royer	
D	US-	5,252,714	10/12/1993	Harris et al.	
E	US-	5,510,418	04/23/1996	Rhee et al.	
F	US-	5,672,662	09/30/1997	Harris et al.	
G	US-	5,824,784	10/20/1998	Kinstler et al.	
H	US-	5,840,900	11/24/1998	Greenwald et al.	
I	US-	5,990,237	11/23/1999	Bentley et al.	
J	US-	6,465,694	10/15/2002	Baudys et al.	
K	US-	6,495,659	12/17/2002	Bentley et al.	
	US-				

**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)				
L	EP	0372752	05/05/1993	Genentech, Inc.		
M	JP	06-233816	08/23/1994	Toyobo Co. Ltd.		
N	JP	11-322916	11/26/1999	Kataoka Kazunori		
O	WO	00/32772	06/08/2000	Eli Lilly		
P	WO	02/059179	08/01/2002	Shearwater Corp.		

Examiner Signature		Date Considered
--------------------	--	-----------------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449B/PTO				<b>Complete if Known</b>	
				<i>Application Number</i>	10/659,734
				<i>Filing Date</i>	09/09/2003
				<i>First Named Inventor</i>	Antoni Kozlowski
				<i>Art Unit</i>	1713
				<i>Examiner Name</i>	Unassigned
Sheet	1	of	1	<i>Attorney Docket Number</i>	SHE0073.00

NON PATENT LITERATURE DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.				T <sup>2</sup>
	V	CHAMOW ET AL., "Modification of CD4 Immunoadhesin with Monomethoxypoly(ethylene glycol) Aldehyde via Reductive Alkylation," Bioconjugate Chem. 1994, 5, 133-140.				
	W	HARRIS ET AL., "Poly(ethylene glycols) as Soluble, Recoverable, Phase-Trasfer Catalysts," J. Org. Chem. 1982, 47, 4789-4791.				
	X	HARRIS ET AL., "Synthesis and Characterization of Poly(ethylene Glycol) Derivatives," J. of Polymer Sci.: Polymer Chem. Ed., Vol. 22, 341-352(1984).				
	Y	HARRIS ET AL., "New Polyethylene Glycols for Biomedical Applications," Water-Soluble Polymers. Synthesis, Solution Properties, and Applications, ACS Symposium Series, 467, pp. 418-429 (1991).				
	Z	MARKO ET AL., "Copper-Catalyzed Oxidation of Alcohols to Aldehydes and Ketones: An Efficient, Aerobic Alternative," Sci., Vol. 274, pp. 2044-2046 (1996).				
	AA	PALEY ET AL., "Synthesis of the Aldehyde of Oligomeric Polyoxyethylene," J. of Polymer Sci.: Part A: Polymer Chem., Vol. 25, 2447-2454 (1987).				
	AB	TOPCHIYEVA, "Synthesis of Biologically Active Polyethylene Glycol Derivatives. A Review," Polymer Sci. U.S.S.R., Vol. 32, No. 5, pp. 833-851 (1990).				
	AC	VANDOORNE ET AL., "Functionalization of a-hydrogen-w-methoxypoly(oxyethylene),1: A new method for the conversion of hydroxyl end groups into aldehyde groups," Makromol. Chem., Rapid Commun. 10, 271-275 (1989).				

Examiner Signature	Date Considered
--------------------	-----------------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.